

**BY ORDER OF THE COMMANDER
HEADQUARTERS 377TH AIR BASE WING (AFMC)
KIRTLAND AIR FORCE BASE,
NEW MEXICO 87117-5606**

KAFB INSTRUCTION 36-201

10 JULY 1997

Personnel



KAFB MERIT PROMOTION PLAN

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction implements Air Force (AF) Policy Directive 36-2, *Employment and Affirmative Action*, and conforms to the principles and requirements of the Federal Merit Promotion Policy. It applies to all positions serviced by the Air Force Civilian Personnel Flight (CPF) located at Kirtland Air Force Base (KAFB), except as indicated in paragraph 1.5 of this plan. Specifically, it implements the Office of Personnel Management (OPM) merit promotion policy in Title 5, Code of Federal Regulations (CFR) 335, Air Force Manual 36-203, *Staffing Civilian Positions*, and program requirements under the Promotion and Placement Referral Subsystem (PPRS). PPRS provides an automated referral capability available through the Defense Civilian Personnel Data System (DCPDS). Documentation covering PPRS is in AF Manual 30-130, Vol 4, *Base Level Personnel Data System Civilian Users Manual* (AFMAN 36-1102). Civilian career program information be found in AF Instruction 36-601, *Air Force Civilian Career Program Management*. NOTE: The rules and procedures of the regulations cited in this plan will continue to be followed, even if rescinded, until such time as the plan is officially amended and negotiated. Each form used in this regulation for collecting personal data from individuals has a Privacy Act Statement either incorporated in the body of the document or in a separate statement accompanying each document.

SUMMARY OF REVISIONS

This instruction was totally revised.

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Chapter 1

GENERAL PROGRAM POLICIES AND REQUIREMENTS

1.1. Objectives. The KAFB Merit Promotion Plan is based on strict conformance with merit principles as described in the preface of this plan. The identification, qualification, evaluation, and selection of candidates is made without regard to political, religious, labor organization affiliation or nonaffiliation, marital status, race, color, sex, national origin, nondisqualifying physical handicap, or age and is based solely on job-related criteria according to legitimate position requirements. A sound promotion program, properly administered and fully supported by managers and employees is essential for an effective and highly motivated civilian work force. The promotion plan is directed toward:

- 1.1.1. Contributing to the accomplishment of mission goals by providing management with high-quality employees.
- 1.1.2. Providing career opportunities for employees and ensuring all employees understand this plan.
- 1.1.3. Fostering and facilitating the ability of employees to broaden their experience and increase their qualifications.
- 1.1.4. Encouraging employees to improve their performance and develop their knowledge, skills, and abilities (KSAs).

1.2. Terms Explained.

1.2.1. Area of consideration is the geographic or organizational area from which the Civilian Personnel Flight (CPF) and Air Force Personnel Center (AFPC) may reasonably expect to locate enough high-quality candidates to fill positions covered by this plan.

1.2.2. Demotion is the change of an employee to a lower grade when both the old and the new positions are under the General Schedule, under the same Wage Schedule, or to a position with a lower rate of basic pay when both the old and new positions are under the same pay schedule.

1.2.3. Job analysis identifies the major job requirements (MJRs) and working characteristics, knowledge, skills and abilities (KSAs) needed for successful job performance. This process is necessary to identify the best qualified candidates for the position to be filled.

1.2.4. Placement certificate lists qualified employees who have requested reassignment or change to lower grade and who are referred for a position vacancy.

1.2.5. Promotion is the change of an employee to a position at a higher grade level within the same job classification system and pay schedule or to a position with a higher rate of basic pay in a different job classification system and pay schedule.

1.2.6. Promotion certificate is an alphabetical listing of the best qualified promotion eligibles available.

1.2.7. Promotion evaluation patterns (PEPs) are objective criteria of position requirements against which employees are evaluated and ranked for placement or merit promotion.

1.2.8. Promotion registers are lists of qualified competitors in order of their relative standing against applicable ranking criteria.

1.2.9. Qualified candidates are those who meet Office of Personnel Management (OPM) or agency established qualification requirements.

1.2.10. Ranking factors are validated evaluation criteria that go beyond the minimum requirements specified by the qualification standard and are used for meaningful ranking of eligible candidates.

1.2.11. Reassignment or lateral is the change within the same agency of an employee from one position to another without promotion or change to a lower grade.

1.2.12. Selective placement factors are those validated KSAs essential for satisfactory performance on the job and are in addition to the basic qualification standards for a position.

1.3. Merit Promotion Plan Principles. The following principles form the basis of the KAFB Merit Promotion Plan.

1.3.1. All permanent employees in a designated area of consideration who meet the minimum qualification standards, essential administrative requirements, and any legal or regulatory requirements set by OPM and the Air Force are considered eligible for promotion.

1.3.2. Areas of consideration within which employees are identified to compete for advancement are established and adjusted, as necessary, to provide management an adequate number of high-quality employees from which to choose.

1.3.3. Appropriate job-related criteria are applied with fairness and equity to differentiate among candidates' qualifications and to identify those best qualified for advancement.

1.3.4. Selections must be made without discrimination for any nonmerit reason and without favoritism based on personal relationships or patronage.

1.3.5. At the discretion of management and with concurrence of CPF and AFPC, consideration may be given to candidates from outside the area serviced by the KAFB CPF.

1.3.6. Promotions and placements into positions with known promotion potential are competitive. Promotions without competition are authorized only after appropriate consideration of established merit principles.

1.4. Manager's Right to Select or Nonselect. Refer to paragraph 2.3 in AFMAN 36-203.

1.5. Positions Covered. All positions in organizations serviced by the KAFB CPF are covered by this plan except:

1.5.1. Excepted service positions under Schedules A, B, or C as shown in 5 CFR Parts 213 and 300.

1.5.2. Positions identified as part of a career management program established by the Department of Defense (DoD), Headquarters United States Air Force, major air commands, or the Defense Special Weapons Agency (DSWA).

1.5.3. Positions in the Senior Executive Service (SES).

1.5.4. Positions filled by term appointments.

1.5.5. Positions without known promotion potential when the position is filled by an individual who is one of the following:

1.5.5.1. Referred by OPM on a certificate of eligibles.

- 1.5.5.2. Eligible for Veterans Readjustment Authority (VRA) appointments.
- 1.5.5.3. Reinstated at the same or lower grade as that previously held in the Federal service on a permanent basis.
- 1.5.5.4. Determined to be eligible for a compensation disability rating of 30 percent or more by one of the uniformed branches of the military service or by the Veterans Administration.
- 1.5.5.5. From another Federal agency eligible for transfer not involving a promotion.
- 1.5.5.6. Eligible for other special appointing authorities delegated to the Air Force by OPM.

1.6. Program Responsibilities.

1.6.1. Civilian Personnel, which includes CPF and AFPC:

- 1.6.1.1. Develops and publishes the merit promotion plan.
- 1.6.1.2. Directs the operation of the merit promotion program in compliance with laws, rules, regulations and the requirements of this plan.
- 1.6.1.3. Publicizes all pertinent information concerning the merit promotion program.
- 1.6.1.4. Determines whether a personnel action is subject to competitive promotion procedures.
- 1.6.1.5. Ensures candidates are properly evaluated, ranked and referred for promotion consideration.
- 1.6.1.6. Maintains promotion records.
- 1.6.1.7. Reviews applicant data and selection statistics.
- 1.6.1.8. Reviews and analyzes any barriers to affirmative action that might be created by this plan.
- 1.6.1.9. Plans and develops employee career brief review schedules and procedures.

1.6.2. Supervisors :

- 1.6.2.1. Advise and assist employees in understanding the merit promotion process.
- 1.6.2.2. Provide guidance to employees to develop themselves for promotion.
- 1.6.2.3. Ensure that all personnel actions taken in conjunction with the plan are based on merit factors.
- 1.6.2.4. Practice habits which do not use coercion or any type of discouragement that would cause a candidate to decline consideration for promotion. This does not prevent a supervisor from clearly explaining to all candidates the work environment and the performance expectations.
- 1.6.2.5. Submit SF 52, Request for Personnel Action, to the CPF.
- 1.6.2.6. Participate with civilian personnel specialists in the job analysis and PEP development processes.
- 1.6.2.7. Prepare and complete fair and timely performance ratings for subordinates.
- 1.6.2.8. Participate on promotion boards and panels.
- 1.6.2.9. Resolve administrative matters associated with placement and promotion certificates.

1.6.2.10. Ensure employee detail assignments are in strict compliance with laws, rules and all applicable Air Force directives.

1.6.2.11. Practice merit principles in all actions.

1.6.2.12. Provide notices of final selections to all employees referred for interviewing, and notify employees within their immediate sections who were referred for consideration.

1.6.2.13. Release employees for promotion in accordance with the provisions of this plan.

1.6.3. Employees . Review career briefs to assure that their experience, education, and training are accurately listed. If individual career briefs are incorrect, employees maintain full responsibility to update their records.

Chapter 2

RESTRICTIONS AND PRIORITIES

2.1. General Requirements. Refer to paragraph 2.8 in AFMAN 36-203.

2.2. Application of Competitive Process. Refer to paragraph 2.9 in AFMAN 36-203.

2.3. Consideration of Applicants From Outside the Air Force. Refer to paragraph 2.10 in AFMAN 36-203.

2.4. Promotions Not Subject to Competition. Refer to paragraph 2.12 in AFMAN 36-203.

2.4.1. Placement of Employee Entitled to Grade Retention . Employees on grade retention will be selected for positions for which they **fully** qualify at grades up to and including their retained grade from which demoted according to the priorities and policies of the DoD Priority Placement Program and AFMAN 36-203.

2.5. Repromotion of Previously Downgraded Employees. Refer to paragraph 2.13 in AFMAN 36-203.

2.6. Priority Consideration for Employees Denied Proper Consideration. If it is determined that an employee failed to receive proper consideration in a promotion action and the action is allowed to stand, the employee will be given noncompetitive priority consideration as a corrective action. In these cases, employees must be considered and may be selected for the next vacancy for which they qualify (same grade level, same growth potential). The employee may be selected for promotion to the vacancy in competition with others entitled to the same consideration as an exception to the competitive promotion procedures. An employee is entitled to only one priority consideration for the improperly denied consideration. Selection under this provision is not mandatory. AFPC, through coordination with CPF, informs employees in writing when they are entitled to a priority consideration under this provision.

2.7. Special Categories. Refer to paragraph 2.14. in AFMAN 36-203.

2.8. Areas of Consideration.

2.8.1. The minimum area of consideration for positions located on or within the commuting area of KAFB will usually include all eligible employees serviced by the CPF on or within the commuting area of KAFB. The area of consideration for positions located outside of KAFB and the commuting area will be determined by the supervisor and the CPF when the vacancy occurs. The minimum area applies to all serviced positions except those covered by a DoD or AF career program.

2.8.2. Expansion of the area of consideration beyond the minimum is determined by the CPF or upon request of the selecting official with the concurrence of the CPF. The decision to expand the area is based upon such factors as the number of best qualified candidates referred for the position, whether or not there is adequate opportunity to achieve affirmative action objectives or to improve identified underrepresentation of minorities and women as described in the KAFB Affirmative Employment Plan. The areas of consideration may be expanded concurrently, sequentially or independently at

CPF's option. When underrepresentation exists, the area will usually be expanded when the CPF has reason to believe the minimum area will not produce qualified minority or female candidates.

2.8.3. The areas of consideration are usually, but are not limited to:

- 2.8.3.1. The minimum area as defined in paragraph 2.8.1.
- 2.8.3.2. All DoD or Federal agencies in the local commuting area.
- 2.8.3.3. Air Force-wide.
- 2.8.3.4. DoD-wide.
- 2.8.3.5. Federal government-wide.
- 2.8.3.6. Outside the Federal service.

Chapter 3

OPERATING THE PROGRAM--IDENTIFICATION, EVALUATION, CERTIFICATION AND SELECTION

3.1. General Information. Though this plan deals primarily with promotions and competitive reassignments there are many other authorized ways to fill a vacancy. Some of these methods are discretionary with management and the CPF and others are based on regulatory priorities. Among such priorities are: the placement of overseas returnees, restoration after military duty of registrants under the Department of Defense Priority Placement Program (stopper list), Inter-Agency Career Transition Assistance Plan (ICTAP), and placement of local employees whose positions have been abolished. Priorities in filling positions are found in AFMAN 36-203.

3.2. Promotions and Placements Referral Subsystem (PPRS). PPRS (pronounced peepers) is an automated referral system which screens employees' personnel data to find those who are basically eligible for promotion (i.e., they meet the minimum requirements established by the OPM's Qualification Standards Handbook) and then ranks them against the specific knowledge, skills and abilities that are the best predictors of future job success. It produces a listing, by rank order, of the best qualified employees for the position. PPRS is used for all positions and for all grade levels covered by this plan. Also, PPRS screens candidate records of Air Force employees who have requested consideration for positions located at KAFB but who are not serviced by this CPF. It may also be used to rate and rank reassignment and change to lower grade candidates and those who are entitled to priority consideration.

3.3. Identification of Candidates.

3.3.1. The primary method of identifying serviced employees for consideration will be through the use of Promotions and Placements Referral Subsystem (PPRS).

3.3.2. Competing candidates are identified on a candidate referral roster, which is a list produced from PPRS. It lists the names of those employees who satisfy the screening criteria in each phase of the PPRS system.

3.3.3. PPRS identifies qualified employees on pay retention, repromotion eligibles, employees legally entitled to absentee consideration (i.e., employees in military service), and any other employees entitled to priority consideration. Employees in the categories above will be considered and referred in accordance with priorities established in AFMAN 36-203 and this plan.

3.3.4. General Schedule (GS) 15 positions will be filled in accordance with paragraph 1.15 in AFMAN 36-203.

3.4. Evaluation of Candidates.

3.4.1. PPRS is used to evaluate all employees whose records are in DCPDS. PPRS matches data in each employee's master personnel file (MPF) against criteria specified in the PEP. A complete description of PPRS and how candidates are evaluated and ranked may be found in AFMAN 36-203.

3.4.2. At KAFB awards will not be used in the sort priority processing. In most instances, the purpose of merit may best be achieved by evaluating education, training, and job-related awards during the final selection process. AFPC provides selecting officials with career brief information that permits them to assess the pertinence, recentness and job-relatedness of these factors.

3.5. Performance Appraisals. Refer to paragraph 2.23 in AFMAN 36-203.

3.6. Promotion Registers. Refer to paragraph 2.24 in AFMAN 36-203.

3.7. Certification for Promotion. Refer to paragraph 2.25 in AFMAN 36-203. AFPC provides all certificates to supervisors for referral. Supervisors will complete and return certificates to the CPF within 15 calendar days from the date of issue.

3.8. Reassignments and Change to Lower Grade Actions. Table 7.3 in AFMAN 36-203 describes the conditions when reassignment or change to lower grade actions must be done under competitive procedures. Employees interested in a reassignment or change to lower grade must submit written requests to the CPF.

3.9. Selection. Refer to paragraph 2.29 in AFMAN 36-203.

3.10. Interviewing. Selecting supervisors may conduct individual or panel interviews to further evaluate candidates for promotion. The CPF provides advise regarding tentative selection policy and selection process procedures during the interviewing process. Supervisor must consider the following guidelines when conducting interviews:

3.10.1. Determine the KSAs critical to the job performance and develop interview questions based on these KSAs.

3.10.2. Submit the questions along with any KSAs that are considered unique to the position to the CPF for approval prior to the interview.

3.10.3. Return AF Form 2079, *Selection Interview Worksheet*, and certificates to the CPF.

3.11. Releasing Employees. Refer to paragraph 1.9 in AFMAN 36-203.

Chapter 4

SPECIAL PROVISIONS AND MISCELLANEOUS REQUIREMENTS

4.1. Amending the Application for Federal Employment. Amendments are used to document work experience, education, examinations, outside activities, current membership in professional societies, and training courses which are not currently in the employee's record. It is the employee's responsibility to provide the CPF with complete and accurate information. The amendment must be signed by the employee. The CPF reviews and evaluates the amendments for submission to AFPC.

4.2. Maintenance of Employee Automated Personnel Record. AFPC determines the procedures to be used to review and maintain employee personnel data. Personnel data will be coded and input by AFPC within 60 days but not more than 90 days after a new employee enters on duty.

4.3. Consideration of Absent Employees. Refer to paragraph 2.32 in AFMAN 36-203.

4.4. Temporary Promotions. Refer to paragraph 2.33 in AFMAN 36-203.

4.5. Details. Refer to paragraph 2.11 in AFMAN 36-203.

4.6. Promotion Records. Refer to paragraph 2.39 in AFMAN 36-203.

4.7. Safeguarding Promotion Materials . Promotion registers and promotion certificates will not be disclosed to unauthorized personnel. AFPC provides promotion certificates, placement certificates, career briefs, applications, resumes, and other profile information to the selecting supervisors in sealed envelopes. This information must be returned to the CPF in sealed envelopes after the supervisor's selection. Supervisors will not discuss employee records with or otherwise divulge their contents to unauthorized persons.

Chapter 5

RELATIONS WITH EMPLOYEES

5.1. Information About Specific Promotion Actions. Refer to paragraph 2.36 in AFMAN 36-203.

5.2. Employee Complaints. Refer to paragraph 2.37 in AFMAN 36-203.

Chapter 6**DEVELOPMENTAL OPPORTUNITY PROGRAM (DOP)**

6.1. Developmental Opportunity Program. Refer to Chapter 3 in AFMAN 36-203.

STEVEN J. WITT, Lt Col, USAF
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